

Records Management and You

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Why Records Management Matters

- Citizens have a right to know.
- Records have historical importance.
- Good record keeping makes your job easier.
- It's the law.



South Carolina Public Records Act

- The legal justification for state records management.
- Code of Laws of South Carolina.

http://www.scstatehouse.gov/code/t30c001.php

Title 30 - Public Records

CHAPTER 1.

PUBLIC RECORDS, REPORTS AND OFFICIAL DOCUMENTS

What is a Public Body?

"any department of the State, any state board, commission, agency, and authority, any public or governmental body or political subdivision of the State, ...supported in whole or in part by public funds or expending public funds" Code of Laws of South Carolina, 1976, Section 30-1-10(b)

What is a Public Record?

"includes all books, papers, maps, photographs, cards, tapes, recordings, or other documentary materials regardless of physical form or characteristics prepared, owned, used, in the possession of, or retained by a public body..." Code of Laws of South Carolina, 1976, Section 30-4-20(c) as amended aka The Freedom of Information Act

Examples

- •Record: completed forms, correspondence, maps, drawings, photographs, and reports
- •Non-Record: convenience copies for reference, publications not evidence of governmental activities, including catalogues, trade journals, pamphlets, blank forms

SECTION 30-1-20. Custodians of records; records officer.

- chief administrative officer
 - Is legal custodian of these records
 - Is responsible for carrying out the duties and responsibilities of this chapter
 - may appoint a records officer to act on his behalf

SECTION 30-1-30. Unlawful removing, defacing or destroying public records.

- A person who
 - •unlawfully removes a public record
 - •alters, defaces, mutilates, secretes, or destroys
 - •is guilty of a misdemeanor

SECTION 30-1-40. Records shall be turned over to successor or to Archives.

- A person having
 - custody of public records
 - expiration of his term of office or employment
 - shall deliver to his successor, or if there is none, to the
 Archives, all public records in his custody

Noteworthy Sections of SC PRA **SECTION 30-1-70.** Protection and restoration of records.

- legal custodian shall
 - protect them against deterioration, mutilation, theft, loss, or destruction
 - keep them secure in vaults or rooms having proper ventilation and fire protection
- public records of long term or archival value in danger of loss
 - [may] be transferred to suitable storage...or other necessary preservation measures..."

Noteworthy Sections of SC PRA SECTION 30-1-90. (A) Archives shall assist in creating, filing and preserving records; inventories and schedules.

- •The Archives may
 - examine the condition of public records
 - give advice and assistance to public officials in... creating, filing, preserving, and making available the public records in their custody
 - establish records schedules mandating a time period for the retention of each series of records [which] must be approved by the governing body of...each agency...and by the Director of the Archives

Noteworthy Sections of SC PRA SECTION 30-1-90. (D) Archives shall assist in creating, filing and preserving records; inventories and schedules.

- Records...in the transaction of public business
 - [must] be disposed of, destroyed, or erased [with] an approved records schedule.
 - [must] be documented and reported in accordance with procedures developed by the Archives

SECTION 30-1-100. (E) Additional powers and duties of Archives.

- Any public records
 - destroyed or otherwise disposed of in accordance with the procedure authorized in Sections 30-1-90 and 30-1-110
 - Liability [for] custodian shall cease.



True or False Quiz (Get your thinking cap on!)

- 1. Public records are only in book or paper format.
- 2. When an employee leaves a job, he may take any or all public records with him.
- 3. Public records may be disposed at any time.
- 4. Records schedules mandate the minimum amount of time a record can be kept.
- 5. Committees, subcommittees, and advisory committees are not considered public bodies.

Fill in the Blank

1. Public records may be disposed of with an approved _____ 2. The Archives assists agencies in creating an of public records in their custody. (The process of locating, identifying, describing, and counting records in a storage area.) 3. Only the _____ copy of a record must be scheduled.

Still Quizzing (and still thinking!)

4.	The o	f a public			
	body is the legal custodian of its records.	•			
5. 7.	5. The individual in answer 4, may appoint a				
	to act on his behalf.				
6. Legal custodian of records shall protect them from					
	,,,,	or			
and	l keep them				

Retention Schedules

- Describes the records, the length of time they should be retained, and indicates their final disposition
- Two types General and Specific
- Minimum Retention Periods
- "Official" or "Record" copy of a record
- Based on content versus medium

General Schedules

Records common to all agencies



Format

- First line regulation number and series title.
- Part A Description: statement describing use and informational content
- Part B Retention: time period indicating minimum length of time records should be retained by agency before their disposition

General Schedule Examples

12-306. Administrative Files (Executive Levels)

A. Description: Document actions of an agency director, deputy director and division directors. Information includes memoranda and reports concerning agency policy, organizational and program development records, non-routine fiscal data, personnel information and related notes. These records reflect administration of policy, coordination of agency functions, and management of program activity.

B. Retention:

- Agency: 3 years after fiscal year. Microfilm optional.
- State Archives: Selection of needed documentation. Permanent.

12-307. Administrative Reference Files (Non-Executive Levels)

A. Description: Routine office management files retained below the agency director, deputy director and division director levels. Included are memoranda, reports, printed matter and other reference materials. Topics include: job activities, program material, general office information, professional associations, charitable affairs, parking for staff, disaster preparedness, and other related topics.

B. Retention: Until no longer needed for reference; destroy.

12-325. Motor Vehicle Operations And Maintenance Files

A. Description: Files of motor vehicle operations and maintenance. Included are requests for state vehicles, vehicles inspection/use reports, motor vehicle accident reports, motor vehicle inventories, and other related information.

B. Retention: 3 years; destroy.

12-335. Telephone Logs

A. Description: Listing of telephone calls made by agency personnel for a particular time period. Logs reflect date, time, caller, recipient of call, and nature of business discussed.

B. Retention: 3 years and until reconciliation of telephone billing, destroy.

Specific Schedules

Created specifically for your agency

Agency's name appears on schedule

Create a specific schedule when:

- The record is unique to your agency
- Retentions in General Schedules do not fit your retention needs
- Need to Use State Records Center storage



South Carolina Department of Archives & History Division of Archives and Records Management

APPROVAL OF RECORDS RETENTION SCHEDULE

In accordance with provisions of Title 30, Code of Laws of South Carolina, 1976, Sections 30-1-10 through 30-1-140, as amended, the attached Records Retention Schedule is submitted for approval. This schedule supersedes any previously approved schedule for these same records series.

PART I Agency

DEPARTMENT OF TRANSPORTATION ENGINEERING PRE-CONSTRUCTION RIGHT OF WAY RECORD GROUP # 233

I certify that I am authorized to act for this agency in the disposition of its public records and hereby approve the attached Records Retention Schedule. The schedule meets all legal and audit requirements and the records have no further administrative, fiscal, or legal value to this agency after the expiration of the prescribed retention periods. Records series included in this approval are numbered:

10092 (REVISED) and 15861

Dec. 5, 2011 Muchelle Wilan Malands

Date Signature of Agency Representative

PART II Department of Archives and History

The records listed in the attached Records Retention Schedule have been evaluated by this department for their management, research, and permanent value and are approved for retention or disposal as described in this schedule.

12-12-11

Date

Director, Department of Archives and History

DEPARTMENT OF TRANSPORTATION

Record Group Number: 233

ENGINEERING

PRE-CONSTRUCTION

RIGHT OF WAY

10092 DOCUMENTS OF CONVEYANCE

Description

Created by the Right of Way Office to record transmittal of property ownership to the South Carolina Department of Transportation concerning rights-of-way acquired by the agency. Information consists of title to real estate and associated restrictive covenances, easements, condemnation pleadings, permissions, and railroad agreements reflecting transfer of ownership and permission to perform work on property in connection with road projects.

Retention

Agency: Until no longer needed for reference.

State Archives: PERMANENT

Revised.

15861 SUPPORTING DOCUMENTATION (DOCUMENTS OF CONVEYANCE WORKSHEETS, ETC.)

Description

Created by right of way agents and used to review the negotiation process prior to the right of way conveyance to the South Carolina Department of Transportation to assure policy and procedures were properly followed. Information consists of agent worksheets, documentation supporting the acquisition, i.e. offer letters to property owners to purchase property for a set amount, right of way agent's statements, and descriptions of improvements with the right of way as well as any other negotiations between the agent and property owner prior to securing documents of conveyance needed for road construction/improvement projects throughout the state.

Retention

3 years after final payment of funds for project, destroy.

Inventory

- The process of locating, identifying, describing, counting, and measuring all records regardless of medium in office and storage areas
- Use staff familiar with their office records for guidance in describing records
- Label records using General Schedules or create a specific schedule using the Inventory Form

^{*}See Information Leaflet #17: How to Conduct a Records Inventory

Inventory Form (ARM-1)

- Agency staff completes one per record series based on inventory of records
- Records Analyst at Archives drafts a Specific Schedule based on the inventory form
- Final schedule approved by Agency Head (or designated Records Officer) and Archives Director for implementation



South Carolina Department of Archives and History Division of Archives and Records Management RECORD SERIES INVENTORY FORM	Action Required Establish Schedule Revise Schedule Schedule Number		
TYPE OR PRINT CLEARLY. COMPLETE ONE FORM FOR EAC	H RECORD SERIES. RECORD GROUP NUMBER:		
Section A. Identification of Program Unit and Contact Per	rson		
1. State or Local Agency	2. Division or Office		
3. Subdivision	4. Program Unit		
5. Person Completing Form: (Name) (Title) (Telephone) (Date)			
Section B. Description of Records			
6. Record Series (a) Title: (b) Variant Title:	7. Dates of Records (a) Beginning to Ending (b) Missing Dates:		
8. Are records still created? yes no	9. Are records indexed?yesno If yes, title and location:		
10. Arrangement of Record Series Alphabetically by Numerically by Alphanumeric by	Chronologically by Unarranged Other		
11. Description of Records (a) Who creates and/or uses the records and for what purpose?			
(b) Informational Content			
(c) Value of Records (check all that apply) Administrative Legal Fiscal Historical Other			
(d) Are these records vital? yes no			
(e) Reference Frequency times daily weekly monthly yearly for months years. Never after			

SECTION B. DESCRIPTION OF RECORD SERIES (CON'T.)			
12(a) Characteristics (check the medium to left of record format):			
□ Paper □ Audio Visual □ Legal Size □ Audiotape □ Letter Size □ Motion Picture □ Bound Volume □ Video Tape □ Computer Printouts □ Photo Print □ Maps, Plans, Drawings □ Photo Glass □ Publications □ Other	☐ Microfilm ☐ Roll Film ☐ Aperture Cards ☐ Microfiche ☐ Jackets	☐ Computer Machine Readable ☐ Tape ☐ Disk ☐ Diskett (Floppy) ☐ Punch Cards	
12(b) Total Volume and Location of Records (by cu. ft Office State Records Center Other Storage Specify:	i.) 12(c) Total volume gene (Most recent year)	erated per year	
13. Condition of Records: Good Fair Pool Molded Dirty Torn Other	r		
14. Confidential? yes no. If yes, cite authority			
15. Record is ☐ original - Location of duplicate: ☐ duplicate - Location of original:	16. Summarized: yes Title and Location of Sum	no nmary Record	
SECTION C. PROPOSED RETENTION PERIOD AND DISPOS	ITION		
17. Subject to: Audit Sunset Review	Other (specify):		
18. Legal retention requirement? yes no. If yes, cite authority			
19. The proposed retention period for this record serie Retain in program office space for Transfer to state/local facility for Transfer to State Records Center for Other (Specify) Final Disposition (following completion of retention per Destroy Transfer to State Archives 20. Additional Comments	years months years months years months		
20. Traditional Comments			

AND THE STATE OF T	
South Carolina Department of Archives and History Discussion of Archives and Records Management PET ORD SERIES INVENTORY FORM	Action Required ☑ Establish Schedule ☐ Revise Schedule Schedule Number
TYPE OR FRINT CLEARLY. COMPLETE ONE FORM FOR E	EACH RECORD SERIES. RECORD GROUP NUMBER: /32
Seepon A. Identification of Program Unit and Contact	Person
1. State or Local Agency South Carolina. Department of Corrections	2. Division or Office
3. Subdivision Substance Apuse	4. Program Unit
5. Person Completing Form: (Name) (Date). Dongs C. Smith	(Tide) (Telephone) Administrative Spc. 896-8554
Section B. Description of Records	ALEM Appropri
 Record Series (a) Title: Jinmate Referral/Obrrespondence Log (b) Variant Title: 	7. Dates of Records (a) Beginning 7/49 to Ending 2006 (b) Missing Dates:
8. Are records still created? Vyes no	9. Are records indexed? Vyes no If yes, title and location:
10. Arrangement of Record Series ☐ Alphabetically by ☐ Numerically by ☐ Alphanumeric by	3 ring black birder on administrative Specialist Chronologically by tate Unarranged Other
11. Description of Records Adrunisty a frug This is a first (a) Who creates and/or uses the records and for what	. Specialist creates the Referral/Correspondence Log.
(b) Informational Content Inmotes name, number, referre	
(c) Value of Records (check all that apply)	istorical Other
(d) Are these records vital? yes no	Sytte, marpate grants
f 1/	weekly monthly vearly 3 monthly Correspondence to Completed
Placement Co Specific Lappropriede	ordered for eligibility the dept of Substance has copy the substance for s

SECTION IS DESCRIPTION OF RECORD SERIE	e(CONT)
12(a) Characteristics and Volume (check the medium	and indicate volume to left of record format;
Paper	Microfilm Computer Machine Resdable Tage Tage Disk Disk Disken (Fioppy) Jackets Panch Cards Panch Cards
12(b) Total Volume and Location of Records (by cu Office: Binder on bakers rack State Records Center Other Storage Specify:	ft.) 12(c) Total volume generated per year (Most recent year)
13. Condition of Records: ☐ Good ☐ Fair ☐ I ☐ Molded ☐ Dirty ☐ Torn ☐ Other	Poor
 Confidential?	city.
 Record is Periginal - Location of duplicate: N/k 	16. Summarized: yes Ino Title and Location of Summary Record
duplicate - Location of original:	where the state of
SECTION C. PROPOSED REVENTION TERMS AND DISPO	Smen
17. Subject to: ☑ Audit ☐ Sunset Review	Other (specify):
18. Legal retention requirement? yes no	. If yes, cite authority
The proposed retention period for this record ser	ies should be implemented as follows (check all that apply)
Retain in program office space for Transfer to state/local facility for Transfer to State Records Center for	years months years months years months
Other (Specify)	A. A. S. Mariana de la compansión de la
Final Disposition (following completion of retention pe	
20. Additional Comments	5.84, GEO nacialità
	Carlot An Semidentaria C. E. Co.

Value of Records

- Administrative: Needed to conduct program business and/or daily course of business
- Fiscal: Document receipt, management and expenditure of public funds and usually subject to audit
- Legal: Information on legal rights and obligations of government or its citizens; created or maintained in litigation
- Historical: Document authority and mission;
 governmental impact on citizens and state's resources

Records Management DetectivesGroup Exercise

- WHAT
- WHERE
- WHEN
- HOW
- WHY



Record Destruction

- No public record should be destroyed unless allowed by retention schedule
- Report on Records Destroyed (ARM-11) must be completed by Records Officer and forwarded to Archives
- Agency retains a copy to document legal disposition of records

Report on Records Destroyed (ARM-11)

SC Department of Archives and History
DIVISION OF ARCHIVES & RECORDS MANAGEMENT
REPORT ON RECORDS DESTROYED

1. STATE OR LOCAL AGENCY:	
2. RECORD GROUP NUMBER:	
3. DIVISION OR OFFICE:	
4. DATE (M/D/Y):	

5. The records listed below have been disposed of in accordance with provisions of the PUBLIC RECORDS ACT, CODE OF LAWS OF SOUTH CAROLINA, 1976, Sections 30-1-10 through 30-1-140, as amended, and approved Records Retention Schedules.

SIGNATURE OF RECORD OFFICER'S OR REPRESENTATIVE:

6. RECORD SERIES TITLES	7. RECORD SERIES NUMBER	8. INCLUSIVE DATES	9. VOLUME (CuFt)	10. DATE OF DESTRUCTION (M/D/YYYY)
			0.00	Total Cubic Feet

Factors to Consider when "Going Electronic"

- Volume of Records
- Retention Period
- Frequency of Use
- Level of Distribution

Disposal of Original Paper Records Stored as Digital Images

- Disposition of records with 10 years or more retention must comply with items 1-7 on Information Leaflet #13, Public Records Stored as Digital Images
- Complete ARM-13 form for each series
- Paper records must not be destroyed until after Archives approves and returns signed form

Information Leaflet #13

Public Records Stored as Digital Images

- 1.Ensure appropriate indexes or other finding aids are used.
- 2. Maintain copies of digital records in secure off-site storage.
- 3.If digital storage system changes, records must be migrated and converted to new system so they remain accessible.

Information Leaflet #13 - Continued Public Records Stored as Digital Images

- 4. Sample copies of digital records at least once a year to make sure data is readable. Recopy if necessary.
- 5. Certify that digital records have been visually inspected and are legible and correct.
- 6. Certify that you have established written procedures and maintain written documentation of compliance with #2-5.
- 7. Obtain authorization in advance from SCDAH.

ARM-13

SC DEPARTMENT OF ARCHIVES & HISTORY AUTHORIZATION FOR DISPOSAL OF ORIGINAL PAPER RECORDS STORED AS DIGITAL IMAGES

RETURN TO:

SC Department of Archives & History Records Services Branch 8301 Parklane Road Columbia, SC 29223-4905

Telephone: 803-896-6132 FAX: 803-896-6138

1. RECORD GROUP NUMBER:

INSTRUCTIONS

- Complete one form for each record series.
- 2. Complete all of Part I.
- 3. Under Part II, check box A or box B, as appropriate, and sign.
- 4. Send the form to the address at left.
- 5. Do not destroy the paper records until we return the form to you with Part III completed.
- 6. Upon receipt of the form, destroy the records, complete Part IV, and retain the form permanently to document the disposal.

PART I - IDENTIFICATION OF RECORD

Name of State Agency or Local Government	3. Name of the Division, Section, or Office
Record Series Title	5. Schedule Number
Inclusive dates of paper records to be destroyed	7. Cubic feet of records to be destroyed (estimate)
8. Retention period (If less than 10 years, check box A under Part II below. If 10 years or more, check box B.)	 Is this a vital record? (Essential to the continuity of services during a disaster or to the restoration of daily business when it has been interrupted)
	☐ YES ☐ NO
10. Are security copies of the digital records and indexes being placed in off-site storage?	11. If yes, where are the security copies being stored?
☐ YES ☐ NO	
12. Name of Person Completing Part I	13 Telephone number

ARM-13 – Continued

PART II - CERTIFICATION

RECORDS WITH A RETENTION PERIOD OF LESS THAN 10 YEARS			
A. I certify that I am authorized to act for my government body in the retention and disposition of records identified in Part I of this form and that the digital image records have been visually inspected and are legible and correct.			
RECORDS WITH A RETENTION	PERIOD OF 10 YEARS OR MORE		
B. I certify that I am authorized to act for my government body in the retention and disposition of records identified in Part I of this form and that my Agency or local government will comply with items 1-7 on page 2 of Public records information leaflet no. 13, Public records stored as digital Images: policy statement (revised 24 June 2005).			
14. Name/title of authorized state agency or local government representative:	15. Signature:	16 Date	
representative.			
PART III - STATE A	RCHIVES APPROVAL		
17. Disposal of the original (paper) records identified in Part I is 18. Reason for non-approval			
☐ APPROVED ☐ NOT APPROVED			
19. Signature of State Archives representative	20. Date		
PART IV - DISPOSAL VERIFICATION			
I have properly disposed of the paper records identified in Part I			
21. Signature of person disposing of records 22. Disposal date.		isposal date.	

Electronic Records

- Electronic records include:
 - Scanned images (originally paper; ARM13 Form)
 - "Born" digital
 - Email
- User assures legibility, retention/organization, accessibility
- Electronic Document and Records Management Systems (EDRMS)
 - how reliable is system/vendor
 - how much human interaction
- Information Leaflet 13

E-MAIL

Benefits:

- Increase efficiency in job; records retrieval
- Replace paper; snail mail
- Ease of retrieval (correspondence, documents)

Challenges:

- Organization must create or purchase an email management system
- Users need education on how to manage; when to delete or destroy emails
- Collaboration between IT and Records Managers to assure emails "really" deleted

REMEMBER: CONTENT VERSUS FORMAT



twitter

Social Media



- No current State Archives policy
- Public Record based on definition in state
 Public Records Act
- Technology moving faster than records management practices







Social Media

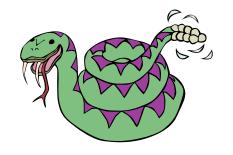
Issues to Consider

- What is the Value?
 - Is it a NEW record
 - Only need to maintain data associated with it
- How to Preserve?
 - Periodic screen shots
 - Capture in "native" form
 - Until superseded
 - Indexes of data
- Who Owns the information?
 - Public employees enter data
 - Private companies own platforms





Records Storage



Minimum Standards for Facilities which House South Carolina Public Records

- Sound Construction; well-maintained
- •Clean; free of vermin; no eating, drinking
- •Well-ventilated; no extreme temperature fluctuations
- •No leaks, flooding or excessive moisture; 3 inches from floor
- •Secure; protected (man-made and natural disasters)

State Records Center

Criteria for Storage

- •Inactive Records referred to less than once a month per box
- •Series generated at rate of 10 cubic feet or more per year
- •Retention for at least 3 years and no more than 10
- •Paper records cannot also be filmed or imaged
- •Must have retention schedule specifying storage time



Stores records until disposal or permanent transfer to Archives

State Records Center

- Contact: Richie Wiggers src@scdah.state.sc.us or (803) 898-9980
- boxes and tape (vendors)
- transfer forms
- physical transfer
- reference requests



^{*}See Information Leaflet#14:Storing Records at the State Records Center

Link to History



SC Department of Archives & History
Collection includes

- 1671 ledger of colonial secretary
- SC's original of the US Bill of Rights
- Original Ordinance of Secession
- Confederate Service Records
- Original Clarendon County petition led to desegregation of public schools

Archives & History Online

http://scdah.sc.gov/

Click "Records Management"

http://rm.sc.gov/

- General Schedules
- Forms
- Information Leaflets
- Laws and Regulations



Questions?

Staff Contact Information available at

http://scdah.sc.gov/aboutus/Pages/agencydirectory.aspx

Erin Lowry (803) 896-6128 elowry@scdah.state.sc.us

